

State of Tennessee LWDA Assessment

Sprint 6 – Northwest Tennessee

April 22, 2019–May 3, 2019

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Executive summary

Summary of observations

Outlined below are the key and consistent themes arising from our interviews with stakeholders and review of documentation

- ▶ The Northwest LWDA Strategic goals are in line with leading practices recommended to other areas. There are some opportunities to further enable the achievement of strategic outcomes.
- ▶ Opportunities exist to clarify roles, responsibilities, accountability and build awareness of key stakeholder roles.
 - ▶ There is an opportunity for the OSO to enhance their understanding of the position's roles and responsibilities, specifically related to reporting and program knowledge. OSO performance concerns have been noted by the Executive Director and reported to the OSO's supervisor
 - ▶ The Board Staff is made up of 10 full-time positions and 1 part-time position. The FTE count of the Board Staff is higher than other LWDA's, which on average consists of 7 FTEs.
- ▶ The Board has visibility into the performance of the local workforce system, but there is an opportunity to further define expectations and improve the quality of dashboards and reports.
- ▶ Opportunities to improve or strengthen internal controls within the NWTNWB exist within the monitoring process.
 - ▶ Neither the OSO contract or the Monitoring and Oversight Policy are explicit as to the frequency, timing or scale of monitoring and reviewing activities.
 - ▶ Monitoring activities performed by the Board Staff may be inefficient and duplicative of the activities that have been contracted out to the CSP and/or OSO.
- ▶ The RFP process is in line with leading practices recommended to other areas. Despite efforts to promote full and open competition (such as outsourcing the process), only two proposals were received.
- ▶ NWTNWB's ability to monitor and correct the performance of service providers is limited, due to expectations of service delivery that were not clearly defined upfront and communicated.
 - ▶ NWTNWB expressed that expectations are not being met by the current OSO service provider.
- ▶ Similar to other LWDA's, the Northwest LWDA faces technology limitations that lead to process inefficiencies.

Assessment approach

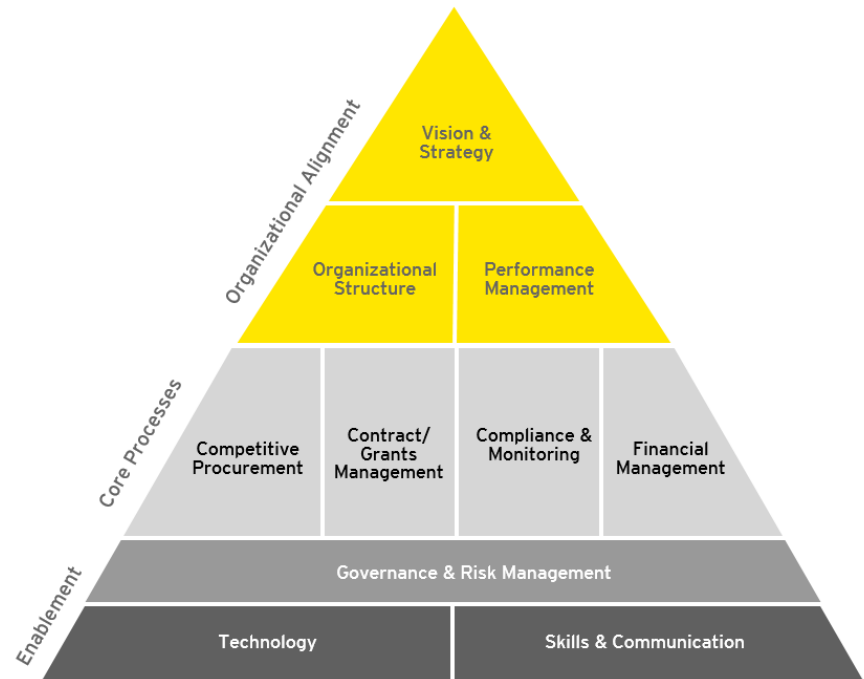
Our framework

EY assessed the organizational fitness and operational controls of the Northwest LWDA by using a holistic framework that focused on strategic elements of an organization.

Assessment methodology



Strategic elements of an organization



Organizational alignment

Vision and strategy

NWTLWDA strategy

The NWTNWB strategic goals are in line with leading practices recommended to other areas.

	Focus area	Key observation
	Strategic vision	The vision, goals and implementation strategies are clearly defined in the Local Strategic Plan. Developing a skilled workforce and a robust talent pipeline to meet industry needs is outlined as a key strategic focus area in the area's Strategic Plan. The Executive Director and Regional Director collaborated in developing the Local Strategic Plan and in verifying it was compliant with state guidance. The Board, Board Chair and CLEO reviewed and provided feedback to finalize the Local Plan.
	Roadmap to achieve strategic outcomes	The Local Plan includes key strategic areas and detailed implementation strategies; however, it lacks a detailed road map with milestones to achieve strategic goals. The Executive Director acknowledged that implementing a tracker in the day-to-day functions to manage actionable steps and progress toward strategic goals would be beneficial. She agreed it would increase accountability, engagement and alignment of key stakeholders with achieving goals outlined in the Plan.
	Strategy enabling technology tools	In the Strategic Plan, technology is primarily used for participant case management and as a tool to provide access to and build awareness of AJC services. The Business Services team uses a mass marketing strategy to promote AJC services. They utilize several marketing channels to include social media, door-to-door visits and cold calls. They use SharePoint as an employer relationship management tool to store, track and manage employer outreach.
Recommendations		
<ul style="list-style-type: none">▶ The NWTNWB's plans are in line with leading practices recommended to other areas. To further enable the achievement of strategic outcomes, the NWTNWB should:<ul style="list-style-type: none">▶ Develop and document a roadmap that includes detailed plans for future initiatives with key milestones and be updated and revisited as needed with input from key stakeholders.▶ Implement plans to track progress against the strategic plan and provide updates and milestones during Board meetings.▶ Develop an outreach communication plan to verify that the NWTNWB is making the most efficient use of its Business Services time to reach as many potential customers as possible. This plan should include tracking success of the different strategies implemented.		

Organizational alignment

Organizational structure

Roles and responsibilities

Opportunities exist to clarify roles, responsibilities, accountability and build awareness of key stakeholder roles.

Focus area	Key observation
LWDA Leadership and Board Staff	<p>The Executive Director clearly understands her role and responsibilities, and is considered a trusted partner to other leadership roles within the LWDA. She has strong communication lines with key stakeholders and partners. She has been transitioning into the Executive Director role for a few months and receives advice and guidance from the former Executive Director that is currently a Senior Executive Advisor.</p> <p>The Board Staff is made up of 10 full-time positions and 1 part-time position. The FTE count of the Board Staff is higher than other LWDAs, which on average consists of 7 FTEs.</p> <p>There is an opportunity to further engage the CLEO in fiscal areas. For example, periodic meetings between the Fiscal Agent and the CLEO to review fiscal performance at a detailed level are not currently taking place. These meetings have proven valuable to other areas as an efficient way to keep the CLEO apprised of fiscal standing but have not yet begun in this area.</p> <p>The current Board Chair has held this position since the 90s and understands the structure and key programs. There is an opportunity to further engage the Board Chair and other Board members to take on a more proactive and innovative role.</p>
OSO	<p>During interviews, stakeholders noted that there is an opportunity for the OSO to enhance their understanding of the position's roles and responsibilities, specifically related to reporting and program knowledge. OSO performance concerns have been noted by the Executive Director and reported to the OSO's supervisor. There are current actions underway to address these gaps.</p>
Regional Director	<p>The Executive Director and Regional Director appear to have a strong working relationship and open communication. The Regional Director acts as a liaison between the Board and the state, and provides guidance to the LWDA to confirm compliance with State requirements. There is an opportunity to clarify her roles responsibilities to encourage more collaboration and communication with other key stakeholders, particularly the Board Chair.</p>

Recommendations

- ▶ Develop a reference guide to clearly define Board and CLEO responsibilities, reporting layers, management accountability and authority to support strategic decision-making.
- ▶ Assess the organizational structure of the NWTLWDA and evaluate the complexity, volume, budget and reporting and supervisory authority of each role to highlight areas for increased organizational efficiency.
- ▶ Communicate the Regional Director's position description with more in-depth detail regarding level of authority, collaboration and communication with other key NWTLWDA stakeholders.

Organizational alignment

Performance management

Performance management

The Board has visibility into the performance of the local workforce system, but there is an opportunity to further define expectations and improve the quality of dashboards and reports.

Focus area	Key observation
Local area performance	<p>Interviews with the CLEO and Board Chair indicated that the Board stays very informed and receives an abundant amount of reports and information during meetings. Both the Board Chair and CLEO mentioned that the Board receives frequent updates and reports; however, it is not clear how these reports are being used to measure success of the LWDA or to drive strategic decision making.</p> <p>The Board receives updates from multiple sources, including the CSP, OSO, Business Services Team and Executive Director. Based on interviews, it does not appear that the Board has set clear expectations or guidelines for reporting and monitoring performance of the local area. There is potential for “information overload,” which could cause oversight of an important issue. If the Board has not defined how to measure and report against objectives and strategic goals, the status reports and dashboards may not be effectively serving the intended purpose, as they may be providing too little information, too much information or the wrong information to the wrong audience. This could lead to a misinformed Board and impact the LWDA’s performance.</p>
OSO dashboards	<p>The CSP Manager produces a monthly report that is submitted directly to the Board (copying the OSO Manager). The report is manually generated using a combination of data points and written updates. Based on interviews with the CSP Manager, the Board did not provide instructions or set expectations for what to include on the monthly reports. We reviewed an example of the CSP report that was provided to the Board for March 2019 and noted the following opportunities for improvement</p> <ul style="list-style-type: none">▶ The report is lengthy (six pages of granular detail) and lacks a high-level summary and view that would be more appropriate for a Board meeting.▶ The tables and charts lack context and are not organized in a way that communicates a clear message.▶ During interviews, the CSP Manager mentioned that the data may not come directly from VOS and may instead come from a manual spreadsheet that is used to track data outside of VOS. This is a risk to completeness and accuracy of the metrics reported.

Recommendations

- ▶ There is an opportunity to further improve the value of the dashboard reports by redesigning the dashboards to align with strategic goals. The dashboard could be better aligned to specific KPIs so that the audience can see a clear picture of progress toward strategic goals.
- ▶ We recommend that the documentation and monitoring capabilities in VOS be fully utilized for Board reports to improve data accuracy and efficiency of reporting. There is an opportunity to further train the endusers of VOS (i.e., CSP) on the extent of its capabilities and purpose.

Governance and risk management

Internal controls

Policies and procedures

The NWTNWB has adopted and customized policies and procedures. Some opportunities for improvement exist specific to the monitoring policy.

Observation	Leading practice
<ul style="list-style-type: none">▶ The NWTNWB has an Administrative Policy Manual, which includes (but is not limited to) the following topics:<ul style="list-style-type: none">▶ Minimum participant cost rate▶ Monitoring and oversight▶ Purchasing and procurement▶ The Administrative Policy Manual, along with other key policies and agreements are located on the NWTNWB website.▶ The CSP (DSCC - Dyersburg State Community College) has policies and procedures that are aligned with Board and state policies. These policies are stored on an internal SharePoint so they are accessible to all staff and are updated and reviewed periodically.▶ Based on our interviews, policies and procedures are easily accessible and understood across the various stakeholders in the LWDA.	<ul style="list-style-type: none">▶ The organization has thoroughly documented key business policies and procedures, assisting with standardization across the organization, and allowing management to identify potential risks and inefficiencies. Documented policies and procedures also serve to mitigate risks associated with business continuity and succession planning.▶ Roles, activities and responsibilities are fully and mutually aligned across the extended organization. All employees are able to access relevant policies, procedures, working instructions and manuals through advanced electronic applications.
Recommendations	
<ul style="list-style-type: none">▶ The NWTNWB has customized policies and procedures specific to their local area that in line with leading practices we have recommended to other LWDBs.▶ Refer to the subsequent slide for further recommendations.	

OSO and CSP procurement

The RFP process is in line with leading practices recommended to other areas. Despite efforts to promote full and open competition (such as outsourcing the process), only two proposals were received.

Observation	Leading practice
<ul style="list-style-type: none"> ▶ An independent third party (Thomas P. Miller) was hired to perform procurement activities to eliminate any actual or perceived conflicts of interest in the OSO/CSP selection process. The third party was responsible for developing the procurement documents (RFP, scoresheets, etc.), distributing the RFP, collecting the responses, reviewing the proposals, evaluating the proposals and making a recommendation to the Board's Executive Committee. ▶ Despite being widely distributed, only two responses were received. One of these responses was from the incumbent, Dyersburg State Community College, who was previously acting as the CSP, OSO and administrative entity to the NWTNWB. While this meets the requirements of open and fair competition, additional submissions would allow for a more open and competitive process. ▶ The Northwest LWDA differs from other LWDA's in that two separate entities were contracted as the CSP and OSO service providers. Most interviewees recognized the value in having the entities be separated so that the OSO can remain neutral in the oversight and coordination of other partners. It is our opinion that procuring these roles separately allows the area to contract the best provider for each role, as requirements and responsibilities of the OSO and CSP differ. 	<ul style="list-style-type: none"> ▶ The RFP Evaluation Committee should be made up of individuals with various area of knowledge (i.e., financial, procurement, career services). Based on subject-matter knowledge or functional area, it may be appropriate for each evaluation committee member to be assigned only a specific section of the proposal to review and score. ▶ Smaller organizations may choose to outsource the RFP process if they determine that their time will be more impactful spent elsewhere. Outsourcing the RFP process can reduce workload and operational costs. ▶ RFP evaluation criteria is clearly defined and documented, increasing consistency in scoring across judges and setting clear expectations for scorers. ▶ Scoring is blind (process by which evaluators rate the responses without specific knowledge of which entity is tied to which answer) reducing the risk of bias in the RFP process. ▶ Distinct weightings are used. This method allows each criterion to be measured on the same scale. Each criterion also has a weight by which the score is multiplied to give it a total weighted score. This makes scoring easy and verifies that the most important criteria are given greater consideration. ▶ Technology is incorporated into the RFP scoring process.
Recommendations	
<ul style="list-style-type: none"> ▶ While the use of a third party is a leading practice, consider increasing Board involvement to confirm that expectations such as defining internal control requirements and other key performance indicators specific to the LWDA are captured in the RFP process. 	

Contract management

NWTNWB's ability to monitor and correct the performance of service providers is limited, due to expectations of service delivery that were not clearly defined upfront and communicated.

Observation	Leading practice
<ul style="list-style-type: none">▶ Service provider contracts contain a "Performance Goals" attachment, which outlines the specific activities that the provider is responsible for and includes the documentation required to demonstrate achievement of these activities. Although this is leading practice compared other LWDAs, the service-level expectations are not defined in measurable terms and the obligations for when expectations are not met are not included.▶ Odle Management Group (Odle) was chosen by the NWTNWB for the OSO contract based on the budget and staffing advantages highlighted in their proposal. Upon receiving the contract, Odle began hiring to fill the staff positions as promised in their proposal. An OSO Manager was hired from the local area (a former NWTNWB staff member).▶ Based on several interviews (including that of the OSO Manager), Odle has not provided proper onboarding into the role and has not been providing the appropriate oversight and ongoing training necessary to support the OSO Manager, though the RFP response specifically outlined training of a newly hired OSO manager. As a result, the NWTNWB expressed that expectations are not being met by the OSO.	<ul style="list-style-type: none">▶ Service-level agreements (SLAs) are in place for all outsourcing contracts. SLAs include specific, measurable key performance indicators that can be clearly monitored and reported against. The SLA should describe the mechanism for escalating and resolving issues related to the delivery of services. The contract owner should be the main author of the SLA as they set the expectations for service delivery and quality that they require.▶ There is a formal process in place to monitor contract performance and compliance to drive quality delivery and identify areas where the providers are not performing to expectations. Service provider performance is reported and reviewed collaboratively with the service provider.
Recommendations	
<ul style="list-style-type: none">▶ Define and document a process to onboard service providers. We recommend including a checklist of items (SLAs, questions, etc.) that should be considered throughout the onboarding process. Consider utilizing a forum between OSOs in other LWDAs for sharing of leading practices and consistency purposes.▶ Develop and document a more formalized process for escalating, tracking and remediating issues related to service provider quality. This process should be included in the contract and agreed to by both parties before services begin.	

Monitoring policy

Monitoring activities in practice may contradict with monitoring responsibilities documented in the NWTNWB's policies and service provider contracts.

Observation	Leading practice
<ul style="list-style-type: none">▶ The NWTNWB has an Administrative Policy Manual, which includes a Monitoring and Oversight Policy. We noted the following opportunities for improvement specific to the monitoring policy.▶ Fiscal Monitoring: The Monitoring and Oversight Policy includes monitoring activities related to provider invoices, but the specific NWTNWB responsibilities with respect to fiscal monitoring are not documented in the Policy.▶ Contract Monitoring: Per the Monitoring and Oversight policy, the NWTNWB will monitor the activities of service providers at least once annually during the contract period. However, the policy does not include the details of the monitoring activities and procedures (checklists, test steps, monitoring plan, templates and tools, etc.) that will take place during the annual review.▶ Neither the OSO contract nor the Monitoring and Oversight Policy are explicit as to the frequency, timing or scale of monitoring and reviewing activities.▶ The Monitoring and Oversight Policy states that the OSO will notify the NWTNWB within seven calendar days of new enrollment and/or potential exits so the file can be scheduled for monitoring. Based on interviews conducted, it is not the OSO but the CSP Quality Coordinator who notifies the Board of new enrollments.	<ul style="list-style-type: none">▶ Monitoring policies are updated and customized to reflect the specific needs of the area. Policies include detail over specific monitoring activities (who is being monitored), monitoring criteria (what is being monitored) and the monitoring schedule (when does monitoring occur). Monitoring is performed in line with documented policy.▶ Monitoring results are used to understand trends and identify root-cause issues.
Recommendations	
<ul style="list-style-type: none">▶ Review and update monitoring policies and procedures to align with current practice. Monitoring policies should be documented in sufficient detail to include the who, what, when and how components of all different types of monitoring activities.	

Formal monitoring program

The monitoring activities performed by the Board staff may be inefficient and duplicative of the activities that have been contracted out to the CSP and/or OSO.

Observation	Leading practice
<ul style="list-style-type: none">▶ The Board Staff includes two full-time monitoring roles: Director of Performance and Compliance and a Compliance Coordinator. The monitoring activities performed by the Board Staff may be inefficient and duplicative of the activities that have been contracted out to the CSP and/or OSO. For example:<ul style="list-style-type: none">▶ DSCC (CSP provider) has hired a Quality Coordinator who is responsible for performing quality management over participant files and case notes. Based on interviews with the Board's monitoring staff, the Board is notified daily by the CSP Quality Coordinator on new enrollments so that the Board's monitoring staff can perform an immediate review of eligibility. The Board's monitoring staff performs a review for eligibility and data validation (case note quality) on 100% of new enrollments. Although this technically does not violate the firewall, it may be repetitive and inefficient if the CSP's Quality Coordinator is already performing proactive quality controls.	<ul style="list-style-type: none">▶ Monitoring policies are updated and customized to reflect the specific needs of the area. Policies include detail over specific monitoring activities (who is being monitored), monitoring criteria (what is being monitored) and the monitoring schedule (when does monitoring occur). Monitoring is performed in line with documented policy.▶ Monitoring results are used to understand trends and identify root-cause issues.▶ Roles and responsibilities are clearly documented and understood among all employees. Monitoring activities are performed effectively and efficiently without redundancy.
Recommendations	
<ul style="list-style-type: none">▶ We recommend that the monitoring for this area be reviewed for opportunities to streamline the overall monitoring program.▶ We recommend that contracts with CSP providers include clearly documented expectations with respect to case note quality and data entry and validation. RFPs should include discussion of procedures in place to verify quality, which could be translated into service-level agreements within the contract. Relying on controls of the CSP providers would reduce administrative activities of the NWTNWB and allow for more efficient operations.	

Enablement Technology

Technology

The Northwest LWDA faces technology limitations that lead to process inefficiencies.

Focus area	Key observation
System limitations	<p>The reporting capabilities in VOS are considered cumbersome by several endusers. For example, there are several different report options but it is difficult to find the one that best fits the needs of the endusers. Often times, endusers run multiple different reports and have to combine and manipulate data outside of the system to create the desired view.</p> <p>VOS does not have the functionality to track referrals or co-enrollments, outside of manually documenting them in the case notes. The expectation of case managers is that case notes are detailed and specific enough to capture the referral or co-enrollment details, which would enable monitoring by reviewing case notes. However, this method is only successful if case notes are accurate, detailed and timely.</p> <p>To promote improved case note quality, the CSP has been utilizing VOS templates. The CSP mentioned that this was a leading practice shared by another LWDA during a training that she attended.</p>
System Integration and manual reconciliations	<p>There is a lack of integration between IT systems (Grants4TN, Jobs4TN and QuickBooks, the accounting system utilized by the Fiscal Agent) causing a large degree of manual reconciliation and increasing the risk of inaccurate reporting.</p> <p>During interviews, we noted that when the state provides the NWTNWB with status reports, the numbers do not always reconcile with the numbers internally tracked at the local level.</p>
Recommendations	
<ul style="list-style-type: none">▶ Consider the development and implementation of repeatable data analysis programs that can automatically extract, organize and present data.▶ Consider the feasibility of implementing a reporting tool that utilizes VOS data. We recommend a reporting tool that has an automated data collection feature.▶ Evaluate the feasibility of implementing integrations between systems to avoid duplicate data entry. This could be via system interfaces, data entry bots, optical character technology, matching technology or other means.	

Enablement

Skills and communication

Skills and communication

There are opportunities to enhance OSO performance and CSP case note quality by providing targeted training.

Focus area	Key observation
Training	Based on interviews, it was noted that the OSO's performance may benefit from targeted training to close knowledge gaps related to soft skills and performance reporting as well as the CSP case manager on case note writing.
Case notes	The CSP Manager performs internal monitoring over case notes taken by Career Specialists when meeting with a participant. It was noted by the Board Staff Monitor that she corrects and edits case notes that do not contain the level of quality and detail that is needed to appropriately record activity. This action crosses the firewall as her role is above the firewall.
Guidance from state	Some interviewees mentioned that when state-wide initiatives are communicated, they are not always accompanied with appropriate guidance or recommendations. They welcomed state interpretation of new policies and procedures wherever possible. Interviewees explained that in several occasions specific guidance was provided to the LWDA and in later weeks opposing guidance was officially issued, which was noted as confusing and generated skepticism. For example, there was some confusion regarding the need to separate functions such as the OSO, CSP and the administrative functions.
Firewall	Both the Executive Director and Regional Director understand the "firewall" concept and the value it provides in verifying segregation of duties. Previously, Dyersburg State performed OSO, CSP, Fiscal Agent and Board Staff roles, allowing for accidental overstep of the firewall. Currently, former Dyersburg State employees serve as the Board Staff and Fiscal Agent.
Recommendations	
<ul style="list-style-type: none">▶ Consider providing targeted training to CSPs on case note quality to highlight the level of detail required for each case.▶ Consider developing a training plan for OSO that can close documented knowledge gaps related to performance reporting, soft skills and expectations of role.▶ The CSP Manager should immediately stop correcting and editing career specialist case notes.▶ Consider refreshing the firewall concept, purpose and allowed communications and activities for each key role.<ul style="list-style-type: none">▶ Develop a communication that includes practical examples of firewall allowed and disallowed communication topics for NWTLWDA to better understand the appearance of conflict of interest provision.	

Appendices

Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/central office	Regional director	CLEO/LEOs	LWDB	Fiscal agent	Executive director/ staff to the board	OSO	Career service provider	Third-party procurement eligibility service provider	Other (Board of directors)
Vendor due Diligence*	Define procurement policies	C/I	C	A		R	R				R
	Define procurement processes, tools and templates	C/I	C	A		R	R				R
	Perform sourcing risk management	C	C	R	R	A/R	R				
	Action procurement policy noncompliance	R/C/I	C/I	A/R	R	R	R				R
Vendor selection*	Prepare and conduct market assessment	C			C	A/R	R			R	
	Develop RFP to include KPIs and targets				A	R	R			R	
	Review and approve RFP	C	C	C	A/R	R	R			R	
	Distribute RFP	I		C	A	R	R			R	
	Prepare and conduct sourcing and bid event			C	A	R	R			R	
	Conduct sourcing evaluations			C	A/R	R	R			R	
	Select vendor	I	I	C	A/R	R	R			R	

*Refers to competitive RFP process (OSO, CSP)

R – Responsible, A – Accountable, C – Consulted, I – Informed

Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/ central office	Regional director	CLEO/ LEOs	LWDB	Fiscal agent	Executive director/ staff to the board	OSO	Career service provider
Contract and grant management (OSO and CSP)	Contract creation and authorization		I	C	A/R	R	R	C	C
	Contract execution	I	I	C	R	A/R	R	R	R
	Contract monitoring	C/I	C/I	A	I	R	R	R	R
	Contract compliance			A/C	C/I	R	R	R	R
Operational compliance and monitoring (OSO and CSP)	Determine operational key performance indicators (KPIs)	C/I	C/I	C	A	R	R	C	C
	Monitor and track performance against operational KPIs	C/I	C/I	C	A	R	R	C	C
	Execute performance reviews	I	I	C	A	R	R	R	
	Report scorecards and performance results	I	I	C	A	R	R	R	R
Regulatory compliance and monitoring	Develop NWTLWDA Strategic Plan	C	C	C	A		R	C	C
	Communicate regulatory requirements and policy changes	C/I	C/I	C	R	R	A/R	R	R
	Monitor and track performance against negotiated performance measures	R	I	R	A/R	R	R	R	R
	Monitor and track performance against fiscal requirements	R	I	A	R	R	R	R	R
	Execute performance reviews	R			A/R	R	R		
	Report scorecards and performance results	R			A/R	R	R	R	R
	Identify and correct noncompliance	R	R	R	A/R	R	R	R	R

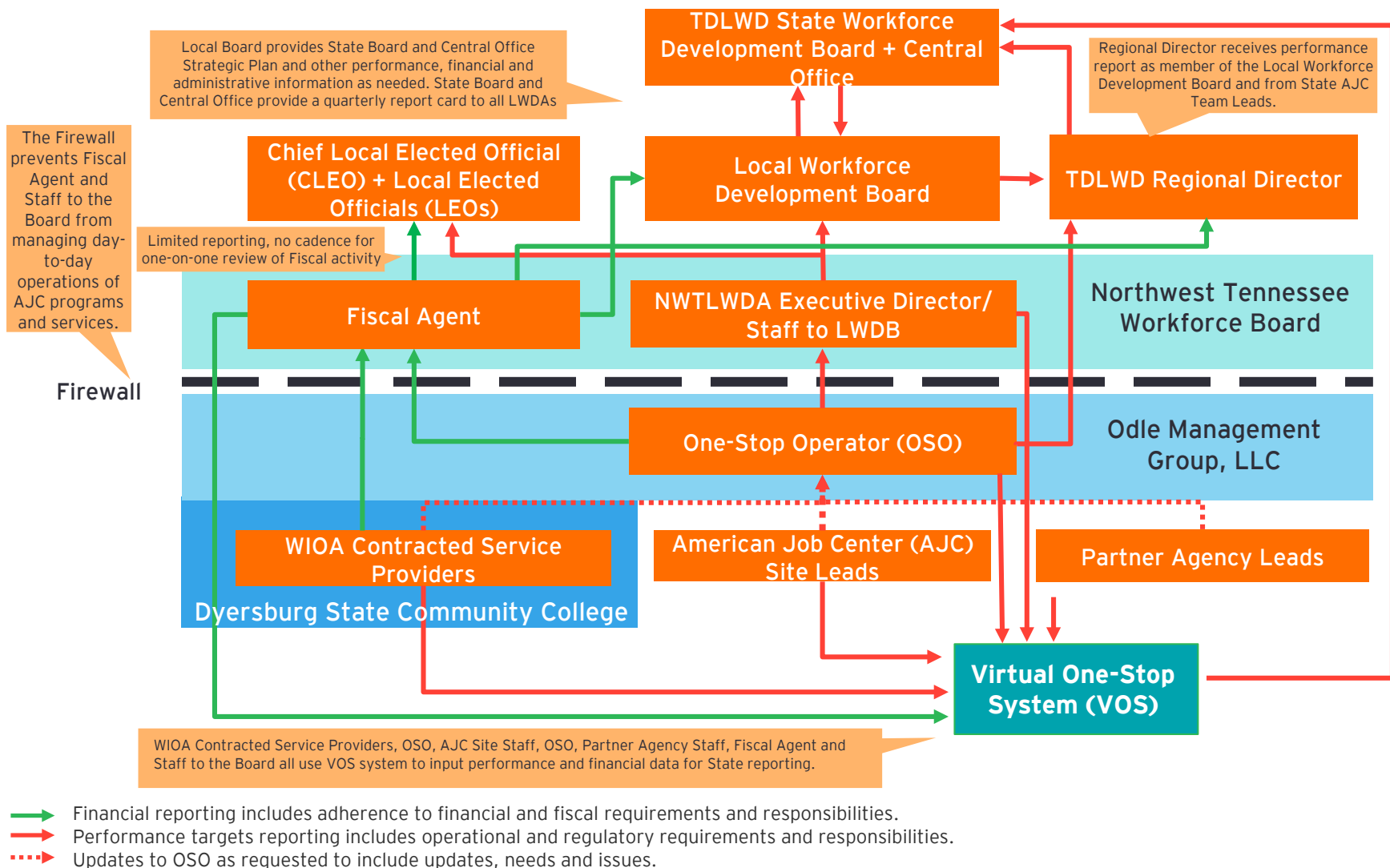
R – Responsible, A – Accountable, C – Consulted, I – Informed

Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/central office	Regional director	CLEO/LEOs	LWDB	Fiscal agent	Executive director/ staff to the board	OSO	Career service provider	Partners
Financial management	Develop NWTLWDA Budget			C	A	R	R			
	Approve NWTLWDA Budget	I	I	A	R	R	R			
	Develop IFA	C	C		A	R	R	C	C	C
	Approve IFA	I	R	R	A	R	R			R
	Prepare expenditure reports			A		R	R			
	Review and approve expenditure reports			A		R	R			
	Review OSO and CSP invoices			A		R	R			
	Pay OSO and CSP invoices and expenses			A		R	R			
	Pay operating expenses			A		R	R			
	Submit reimbursement claims	I		A		R	R			
	Monitor expenditures	I	I	A	I	R	R	C	C	

R – Responsible, A – Accountable, C – Consulted, I – Informed

Appendix B: Current ETLWDA organizational structure



Appendix C: Technology landscape

System	Purpose	Users	Key usage areas			Risks and Observations
			Financial Management	Performance and Contract Management	One-Stop Job Center Operations	
Jobs4TN/VOS	Collect and maintains participant data. Serves as a repository for referrals and other metrics that is used by the state to develop performance reports. Used to record case notes on participant activities and document supporting evidence of eligibility and participant payments. Data is used to perform analysis for trends, performance monitoring and reporting.	AJC Staff, TDLWD, Board Staff, OSO and participants		X	X	During interviews, key stakeholders described the system as not all encompassing of the data they want it to retain and report on. The reporting capabilities of the system make gathering and analyzing data an inefficient process.
Grants4TN	Used to maintain records of financial transactions. Used to submit monthly expense reports and status reports to the state.	Fiscal Agent	X			Data is entered into the accounting system and in Grants4TN, there is no communication between the two. This is a very timely process and also poses the risk of data integrity. Data between Jobs4TN, Grants4TN and QuickBooks must be manually reconciled as the systems do not interface.
QuickBooks	Accounting system used to keep accounting records and assign allocated costs based on agreed upon allocation methods.	Fiscal Agent	X			
EMSI (Economic Modeling Systems International)	Internal report generating tool used for labor market analysis. It used to identify skills gaps and in-demand industries, in an effort to meet the LWDA's specific needs.	Board Staff		X		Limited risks, as it is only used to generate reports. But there is concern that funding for this system will not be approved in the near future.
SharePoint	Web-based platform that houses their internal policies and procedures. The CSP maintains the career service's side keeping the policies and forms up to date. Monitoring staff also utilize SharePoint to maintain their related documentation and reporting.	AJC Staff, Board Staff and CSP		X	X	Limited risks, as it is only used as a repository. The risk of inadvertent exposure of sensitive information and malware entering the enterprise are concerns.
Excel	Used by the Board staff (i.e., business services team) for tracking purposes, by the OSO to track referrals, by the CSP to track contracts for reporting purposes, and by the Fiscal Agent to keep record of expenses, IFA invoices, payroll, etc.	Board Staff, OSO, CSP, and Fiscal agent	X	X	X	Risk associated with this use of excel is the knowledge required to use the worksheets correctly, which could potentially result in inaccurate reports to the state.
Social Media	Used to promote branding and awareness of the AJCs in the NWTLWDA in an effort to increase enrollment.	Board Staff		X	X	A social media policy should be in place to outline how the organization and its employees should conduct themselves online. Users of the social media platforms should receive appropriate training.

EY | Assurance | Tax | Transactions | Advisory

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